



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT  
WASHINGTON, D.C. 20410-3000

OFFICE OF HEALTHY HOMES AND  
LEAD HAZARD CONTROL

POLICY GUIDANCE NUMBER: 2001-03		DATE: October 1, 2001
SUBJECT:	Revised Quarterly Progress Reporting Requirements For The Lead Hazard Control Grant Program	
STATUS:	Current	
APPLICABILITY:	All grant rounds	
RELATED GUIDANCE:	Supersedes PGI 96-02 (May 2, 1996)	
COMMENTS:		

Dear Lead Hazard Control Grantee:

Effective October 1, 2001, the Office of Healthy Homes and Lead Hazard Control (OHHLHC) is implementing revised quarterly progress reporting requirements for the Lead Hazard Control Grant Program. These new requirements were described in the March 8, 2001 letter on this subject that was sent to all LHC grantees. These new requirements supersede those found in Policy Guidance Number: 96-02 dated May 2, 1996 and are part of HUD's continuing effort to improve the reporting of grantee performance while reducing the paperwork burden for grantees. The following items reflect the major changes to the Lead Hazard Control Grant Program reporting requirements:

1. The new quarterly progress reporting system is web-based and requires an Internet connection. Grantees are to complete the quarterly progress report (Form-HUD-96006) by accessing <http://www.leadgrantonline.net> via the Internet.

In the event that a grantee cannot access the Internet, a "word template" version is available. Completed quarterly reports in this format should be submitted to:  
grantee\_quarterly@hud.gov (use underscore)

NOTE: Grantees are required to have approval from their Government Technical Representative (GTR) prior to submitting the report using the word template format.

2. The narrative and data reporting required in the quarterly progress reporting system are directly linked to the performance milestones outlined in the approved work plan (see "Work Plan Guidance" included).

3. The following reports are no longer required:

- Monthly production report
- Project Baseline Management Plan (Form HUD-441.1)
- Project Quarterly Progress Report (Form HUD-661.1)

4. In addition to being part of the revised quarterly progress reporting system, Part 3 - Financial Reporting, HUD Lead Hazard Control Grant Funds (Form HUD-96006) (see attached), replaces the Cost Element Breakdown as the back-up documentation required when a "LOCCS VRS Request Voucher for Grant Payment" (Form HUD-27053) is submitted to HUD. Note that the column "Approved LOCCS Drawdowns This Period" has been renamed and replaces the "Expended This Period" column on the Form HUD-96006 (3/2001) that was transmitted to grantees on March 8, 2001.

5. Grantees are to submit quarterly progress reports as soon as possible, but no later than 30 days after the end of each calendar year quarter.

Grantees are advised that failure to submit timely quarterly progress reports will result in not having their "LOCCS VRS Request Voucher for Grant Payment" processed and/or approved for payment until such time as the quarterly progress report is submitted to HUD.

All aspects of your lead hazard control grant program must continue to be carried out in accordance with the grant agreement, NOFA requirements, and applicable Federal, State and local laws, regulations, policies and procedures, including Environmental Review 24 CFR Part 58 Subpart J - Release of Funds (Form HUD-7015.15).

Your grant agreement will be modified accordingly to reflect these changes. Please consult with your Government Technical Representative regarding any questions related to the submission of the reports/forms. We hope that this summary of the reporting requirements will facilitate your timely response to the Office of Healthy Homes and Lead Hazard Control reporting requirements.

Sincerely,



Ellis G. Goldman, Director  
Program Management Division

## Office of Healthy Homes and Lead Hazard Control Lead Hazard Control Grant Program Reporting Requirements

The following is a summary of the Office of Healthy Homes and Lead Hazard Control Grant Program reporting requirements. Grantees are to adhere to the reporting timelines established.

The requirements are also included for developing the lead hazard control grant program work plan, requesting a maximum 10 percent advance LOCCS drawdown for planning, and obtaining HUD approval for the Release of Funds (HUD 7015.15) before conducting lead hazard control activities.

### Summary of Reporting Requirements

#### Quarterly Requirements

##### 1. Quarterly Progress Report (Form-HUD-96006)

###### Due Dates

☐ January 30   ☐ April 30   ☐ July 30   ☐ October 30

The new quarterly progress reporting system is web-based and requires an Internet connection. Grantees are to complete the quarterly progress report (Form HUD 96006) by accessing **<http://www.leadgrantonline.net>** via the Internet.

In the event that a grantee cannot access the Internet, a “word template” version is available. Completed quarterly reports in this format should be submitted to:

**[grantee\\_quarterly@hud.gov](mailto:grantee_quarterly@hud.gov)** (use underscore)

*NOTE: Grantees are required to have approval from their Government Technical Representative (GTR) prior to submitting the report using the word template format. In addition, grantees should include their grant agreement number in the subject line of their email transmission. A copy of the Quarterly Progress Report in the word template format is attached to this policy guidance document. Instructions for establishing the template are also included*

##### 2. Financial Status Report (SF-269)

###### Due Dates

☐ January 30   ☐ April 30   ☐ July 30   ☐ October 30

## Annual Requirements

### 1. Economic Opportunities for Low-and Very Low- Income Persons (Section 3 HUD-60002)

#### Due Date

☐ January 10

## Additional Timelines and Due Dates

<u>Work Plan</u>	<u>Request for Release of Funds (HUD 7015.15)</u>	<u>*LOCCS - VRS Request Voucher for Grant Payment (Form HUD-27053)</u>	<u>Final Reports</u>
<input type="checkbox"/> Within 60 days after the grant award effective date	<input type="checkbox"/> Within 6 months after the grant award effective date	<input type="checkbox"/> As needed when making drawdown from LOCCS (weekly, monthly, quarterly)  <input type="checkbox"/> Back-up Documentation ( <i>Part 3 Financial Reporting HUD- Form 96006</i> )	<input type="checkbox"/> Within 90 days after the period of performance ends  <i>(See Policy Guidance Number: 2000-02 - Closeout Procedures for Lead-Based Paint Hazard Control Grants)</i>  Narrative Report  Financial Status Report (SF 269)

**IMPORTANT!** An approved work plan and HUD approval of the Request for Release of Funds (HUD Form 7015.15) are required before lead hazard control interventions can be conducted by grantees.

#### **\* LOCCS - VRS Request Voucher for Grant Payment (Form HUD-27053)**

*To allow ample time for the review, approval, and payment of their LOCCS VRS Request Voucher for Grant Payment [form HUD-27053] during the **current** reporting period, grantees are strongly encouraged to make LOCCS drawdown requests at least 5 days prior to the end of the quarterly reporting period.*

*To expedite the review and approval process, grantees should immediately send a fax transmission of the LOCCS request and supporting back-up documentation to their HUD Government Technical Representative at (202) 755-1000. The original copy of this material should be sent by mail.*

## **Work Plan Guidance**

The work plan shall be submitted to the Government Technical Representative (GTR) and shall consist of the goals and specific time-phased objectives established for each of the major activities and tasks required to implement the program. These major activities and tasks are outlined in the Quarterly Progress Reporting System (Form-HUD-96006) and include: 1) Program Management and Capacity Building including data collection and program evaluation; 2) Community Education, Outreach and Training; and 3) Lead Hazard Activities including testing, interventions conducted, and relocation.

***NOTE: Approval of the work plan by the GTR and HUD approval of the Release of Funds Request (HUD Form 7015.15) are required prior to conducting lead hazard control intervention work in homes.***

### **The work plan narrative shall include :**

- ☐ The management plan that describes how the project will be managed, and the timeline for staffing the program, establishing a lead-based paint contractor pool, and obtaining HUD approval for the Release of Funds Request (HUD Form 7015.15);
- ☐ A detailed description of how assistance and funding will flow from the grantee to the actual performers of the hazard reduction work;
- ☐ The selection process for sub-grantees, sub-contractors or sub-recipients;
- ☐ The identification, selection, and prioritization process for the particular properties where lead hazard control interventions are to be conducted;
- ☐ The inspection/risk assessment testing procedures using EPA standards to identify lead hazards and to conduct clearance testing. *[Dust wipe samples, soil samples and any paint samples to be analyzed by a laboratory must be analyzed by a laboratory recognized by the EPA National Lead Laboratory Accreditation Program (NLAPP)]*;
- ☐ The levels of intervention and clearance procedures to be conducted for units enrolled;
- ☐ The number of rental-occupied, vacant, and owner-occupied units proposed for each intervention level;
- ☐ The relocation plan that will be carried out for residents required to be out of their homes during hazard control activities;
- ☐ The education, outreach, and training activities to be undertaken by the program;
- ☐ The blood lead testing and other health measures to be undertaken to protect children and other occupants of units undergoing lead hazard control work; and
- ☐ The evaluation process used to measure program performance

### **Objectives and Milestones**

Specific and measurable performance objectives and milestones to be developed in support of the work plan narrative include:

- ☐ The overall objectives for Lead Hazard Control activities including the total number of lead hazard evaluations and units projected to be completed and cleared (HUD Agreement-HUD-1044). Quarterly performance milestones are to be developed to achieve the overall objectives for these activities.
- ☐ The overall objectives for Community Education, Outreach, and Training Activities. Quarterly performance milestones are to be developed to achieve the overall objectives for these activities.

**SAMPLE**  
**GOALS/OBJECTIVES & PERFORMANCE MILESTONES**  
**Lead Hazard Control Grant Program Activities**

*The following sample format for the goals/objectives and performance milestones for lead hazard control grant program major tasks and activities may be used by grantees as part of the overall work plan submitted to the Office of Healthy Homes and Lead Hazard Control. Grantees are to develop additional goals/objectives and performance milestones for each major task or activity related to the lead hazard grant program. (For illustrative purposes, the grant program agreement effective date is January 1 of the current year and the total number of units included in the grant agreement is 100)*

<b>SAMPLE</b> <b>GOALS/OBJECTIVES &amp; PERFORMANCE MILESTONES</b>	
Total Number of Units to be Completed and Cleared	100
Total Number of Paint Inspections/Risk Assessments to be Conducted	150
Total Number of Training Events to be Conducted	10
Total Number of Health Education and Outreach Events to be Conducted	18

**Quarterly Performance Objectives**

**Goal/Objective:**

**Units to Be Completed: 100**

**Year 1**

Quarter	Quarterly Milestone	Completed/Cleared	Cumulative Completed/Cleared
<input type="checkbox"/> JAN - MAR	NA	NA	NA
<input type="checkbox"/> APR - JUN	NA	NA	NA
<input type="checkbox"/> JUL - SEP	5		
<input type="checkbox"/> OCT - DEC	5		

**Year 2**

Quarter	Quarterly Milestone	Completed/Cleared	Cumulative Completed/Cleared
<input type="checkbox"/> JAN - MAR	10		
<input type="checkbox"/> APR - JUN	15		
<input type="checkbox"/> JUL - SEP	15		
<input type="checkbox"/> OCT - DEC	10		

**Year 3**

Quarter	Quarterly Milestone	Completed/Cleared	Cumulative Completed/Cleared
<input type="checkbox"/> JAN - MAR	10		
<input type="checkbox"/> APR - JUN	10		
<input type="checkbox"/> JUL - SEP	10		
<input type="checkbox"/> OCT - DEC	10		

## **Request for Release of Funds (Form HUD-7015.15)**

The request for the Release of Funds is to be approved by HUD ***BEFORE*** any activities involving housing inspections/risk assessments or hazard control interventions can begin. Grant programs are to be carried out in accordance with Environmental Review requirements including 24 CFR Part 58 Subpart J-Release of Funds (Form HUD-7015.15). (*See Policy Guidance Number 2000-01 – Revised Environmental Review Procedures*)

## **10 Percent Advance LOCCS Draw Down**

During the initial planning period immediately following the execution of the HUD Grant Agreement (Form HUD 1044), a maximum of 10 percent of the total grant amount is available as a drawdown for planning purposes. This may be drawdown in one lump sum or incrementally during the planning phase. (*The back-up documentation for the 10 percent advance drawdown should be allocated appropriately among the line item budget categories. Grantees should ensure that future drawdown requests for reimbursement for expenses above the 10 percent advance payment are allocated appropriately among the budget categories.*)

The LOCCS VRS Request Voucher for Grant Payment (Form HUD-27053) and back-up documentation (Part 3 –Financial Reporting of HUD Form 96006) are to be submitted every time a request for payment from the LOCCS is made.

*To allow ample time for the review, approval, and payment of their LOCCS VRS Request Voucher for Grant Payment [form HUD-27053] for the **current** reporting period, grantees are strongly encouraged to make LOCCS drawdown requests at least 5 days prior to the end of the quarterly reporting period.*

*To expedite the review and approval process, grantees should immediately send a fax transmission of the LOCCS request and supporting back-up documentation (Part 3 – Financial Reporting) to their HUD Government Technical Representative at (202) 755-1000. The original copy of this material should be sent by mail.*

# Attachment

## **PART 3**

### **FINANCIAL REPORTING**

#### **HUD Lead Hazard Control Grant Funds**

Grant Agreement Number:				
Grantee Organization:				
Report Period:		<input type="checkbox"/> Jan 1 – Mar 31 <input type="checkbox"/> Jul 1 – Sep 30    Year 20____ <input type="checkbox"/> Apr 1 – Jun 30 <input type="checkbox"/> Oct 1 – Dec 31		
<b>BUDGET CATEGORIES*</b>	<b>NEGOTIATED BUDGET</b>	<b>APPROVED LOCCS DRAWDOWNS THIS PERIOD*</b>	<b>CUMULATIVE LOCCS DRAWDOWNS TO DATE*</b>	<b>AVAILABLE BALANCE</b>
1. Personnel (Direct Labor)				
2. Fringe Benefits				
3. Travel				
4. Equipment				
5. Supplies and Materials				
6. Consultants				
7. Contracts / Sub-Grantees /				
7a.				
7b.				
7c.				
7d.				
7e.				
7f.				
7g.				
7h.				
7i.				
Subtotal Item 7				
8. Other Direct Costs				
9. Indirect Costs				
10. TOTALS*				

\* Administrative costs included in totals expended **are not** to exceed 10-percent